

**UNITED STATES DISTRICT COURT
MIDDLE DISTRICT OF PENNSYLVANIA**

IN THE MATTER OF APPLICATION FOR :
ADMISSION TO PRACTICE IN THIS COURT :

PETITION

I John J. Graubard, hereby petition the United States District Court for the Middle District of Pennsylvania to admit me to practice before that Court. In support of my petition, I state as follows:

My office address is: U.S. Securities and Exchange Commission
200 Vesey Street, Room 400
New York, NY 10281-1022
Office Telephone: 212-336-0084

I was admitted to practice before the Courts listed below on the date shown after the name of each Court, and I am currently a member in good standing of all those Courts.

State of New York - 12/23/1968; State of Connecticut - 3/8/1972

See attached list of Federal Court Admissions

My attorney Identification number is: NY-1517150; CT-024369

FOR COURT USE ONLY

 GENERAL ADMISSION:

GRANTED BY THE COURT: _____ Date: _____

 SPECIAL ADMISSION:

GRANTED BY THE COURT _____ Date: _____

Please Answer the Following Questions:

All occasions, if any, on which I have been convicted of a crime (subsequent to my becoming an attorney), censured, suspended, disciplined or disbarred by any court are set forth as follows: (State the facts and circumstances connected with each; if none, state "none".)

None

All occasions, if any, on which I have been held in contempt of court are set forth as follows: (State the nature and final disposition of contempt; if none, state "none".)

None

I do _____, do not X, have any disciplinary action, contempt or other proceedings involving me pending before any court. (Check the appropriate space.) If there are pending proceedings, please explain: _____

I am seeking:

_____ General Admission under Local Rule LR 83.8.1

X _____ Special Admission (specify by a check which rule) under

LR 83.8.2.1 _____, LR 83.8.2.2 X, LR 83.8.2.3 _____, or LR 83.8.2.4 _____

If seeking special admission under Local Rules LR 83.8.2.1, LR 83.8.2.2, LR 83.8.2.3, or LR 83.8.2.4, the basis for my admission under the designated rule is as follows:

I am an attorney with the United States Securities and Exchange Commission,

and will be representing an agency of the United States

NAME THE PARTY YOU REPRESENT:

Securities and Exchange Commission

If special admission is requested for a particular case, please list case number and caption:

Case # _____

Caption # _____

John J. Graubard
Federal Court Admissions

Supreme Court of the United States
Court of Appeals for the First Circuit
Court of Appeals for the Second Circuit
Court of Appeals for the Third Circuit
District of Connecticut
Eastern District of New York
Northern District of New York
Southern District of New York
Western District of New York
(full admissions to these courts; limited admission as government attorney to other Districts)

I understand that:

- 1) If seeking admission under Section LR 83.8.2.2, LR 83.8.2.3, or 83.8.2.4, I must submit a letter from a superior stating the agency with which I am employed and the duties performed which qualify me for admission under those sections.
- 2) If petitioning for admission, only in a particular case, under Rule LR 83.8.2.1, I need no sponsor's certificate. Any attorney specially admitted under LR 83.8.2.1, shall, in each proceeding in which he or she appears, have associate counsel who is generally admitted under Local Rule 83.8.1 to practice in this court, whose appearance shall also be entered of record and upon whom all pleadings, motions, notices, and other papers may be served in accordance with any statute or applicable rule. The attendance of any such associate counsel upon the hearing of any motion or the taking of any testimony shall be sufficient appearance for the party or parties represented by such associate counsel. Either the specially admitted attorney or associate counsel must be fully prepared to participate in any hearings, arguments, conferences and trials. (See LR 83.9)

If special admission is requested for a particular case, please list the name, address, telephone number and bar identification number of associate counsel to be entered of record in the case:

- 3) If seeking general admission under Rule LR 83.8.1, I must be a member of the bar of the Supreme Court of Pennsylvania and have a sponsor who is a member in good standing of the Bar of this Court present to move for my admission and I must submit the sponsor's certificate with my petition.



PETITIONER

NY-1517150; CT-024369

(Bar Identification Number and State where admitted)

4/13/2017

(Date)

By signing this petition for admission, I acknowledge that I have read the attached Middle District of Pennsylvania Code of Professional Conduct and agree to subscribe to the standards set forth in the Code.

NAME OF PETITIONER JOHN T. GRUBMAN

**UNITED STATES DISTRICT COURT
FOR THE
MIDDLE DISTRICT OF PENNSYLVANIA**

CODE OF PROFESSIONAL CONDUCT

As a member of the Bar of the United States District Court for the Middle District of Pennsylvania, I will strive for the following professional ideal:

1. The rule of law will govern my entire conduct. I will not violate the law or place myself above the law.
2. I will treat with civility and respect the lawyers, clients, opposing parties, the court and all the officials with whom I work. Professional courtesy is compatible with vigorous advocacy and zealous representation. Even though antagonism may be expected by my client, it is not part of my duty to my client.
3. I will respect other lawyers' schedules as my own, and will seek agreement on meetings, depositions, hearings, and trial dates. A reasonable request for a scheduling accommodation should never be unreasonably refused.
4. Communications are life lines. I will keep the lines open. Telephone calls and correspondence are a two-way channel; I will respond to them promptly.
5. I will be punctual in appointments, communications and in honoring scheduled appearances. Neglect and tardiness are demeaning to others and to the judicial system.
6. I will earnestly attempt to resolve differences through negotiation, expeditiously and without needless expense.
7. Procedural rules are necessary to judicial order and decorum. I will be mindful that pleadings, discovery processes and motions cost time and money. I will not use them heedlessly. If an adversary is entitled to something, I will provide it without unnecessary formalities.
8. I will not engage in conduct that brings disorder or disruption to the courtroom. I will advise my client and witnesses appearing in court of the proper conduct expected and required there and, to the best of my ability, prevent my client and witnesses from creating disorder or disruption.
9. Before dates for hearings or trials are set, or if that is not feasible immediately after such date has been set, I will attempt to verify the availability of necessary participants and witnesses so I can promptly notify the court of any likely problems.

I agree to subscribe to the above
Code of Professional Conduct:



Signature



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
NEW YORK REGIONAL OFFICE
200 VESEY STREET
ROOM 400
NEW YORK, NEW YORK 10281-1022

WRITER'S DIRECT DIAL LINE
LARA SHALOV MEHRABAN
(212) 336-0591
MehrabanL@sec.gov

April 13, 2017

VIA FIRST CLASS MAIL

Peter J. Welsh, Esq.
Acting Clerk
Middle District of Pennsylvania
P.O. Box 1148
Scranton, PA 18501-1148

Dear Mr. Welsh:

Pursuant to LR 83.8.2.2, I write to confirm that John J. Graubard is employed by the Division of Enforcement of the U.S. Securities and Exchange Commission as a trial counsel who is engaged in litigation activities.

Very truly yours,

A handwritten signature in dark ink, appearing to be "Lara Shalov Mehraban", is written over a horizontal line.

Lara Shalov Mehraban
Associate Regional Director